

Employee Post-Travel Disclosure of Travel Expenses

Date/Time Stamp:

SECRETARY OF THE SENATE

Post-Travel Filing Instructions: Complete this form within 30 days of returning from travel. Submit all forms to the **Office of Public Records in 232 Hart Building.**

OCT 21 AM 11:49

In compliance with Rule 35.2(a) and (c), I make the following disclosures with respect to travel expenses that have been or will be reimbursed/paid for me. I also certify that I have attached:

- ☒ The **original** *Employee Pre-Travel Authorization* (Form RE-1), **AND**
- ☒ A **copy** of the *Private Sponsor Travel Certification Form* with all attachments (itinerary, invitee list, etc.)

Private Sponsor(s) (list all): American Foreign Policy Council, Sarah Scaife Foundation

Travel date(s): September 17-24, 2016

Name of accompanying family member (if any): None

Relationship to Traveler: ☐ Spouse ☐ Child

IF THE COST OF LODGING DID NOT INCREASE DUE TO THE ACCOMPANYING SPOUSE OR DEPENDENT CHILD, ONLY INCLUDE LODGING COSTS IN EMPLOYEE EXPENSES. (Attach additional pages if necessary.)

Expenses for Employee:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input type="checkbox"/> Good Faith Estimate	\$2,237	\$647.59	\$145.82	\$185.39
<input checked="" type="checkbox"/> Actual Amount				(\$140 for visa fees and \$45.39 for incidentals and admission fees for cultural sites)

Expenses for Accompanying Spouse or Dependent Child (if applicable):

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input type="checkbox"/> Good Faith Estimate				
<input type="checkbox"/> Actual Amount				

Provide a description of all meetings and events attended. See Senate Rule 35.2(c)(6). (Attach additional pages if necessary.): see attached

10-20-16
(Date)

Joshua Carter
(Printed name of traveler)

Joshua Carter
(Signature of traveler)

TO BE COMPLETED BY SUPERVISING MEMBER/OFFICER:

I have made a determination that the expenses set out above in connections with travel described in the *Employee Pre-Travel Authorization* form, are necessary transportation, lodging, and related expenses as defined in Rule 35.

10-20-16
(Date)

John H. ...
(Signature of Supervising Senator/Officer)

EMPLOYEE PRE-TRAVEL AUTHORIZATION

Date/Time Stamp:

U.S. SENATE
COMMITTEE ON ETHICS
16 AUG -4 AM 11:19

Pre-Travel Filing Instructions: Complete and submit this form at least 30 days prior to the travel departure date to the **Select Committee on Ethics in SH-220**. Incomplete and late travel submissions will **not** be considered or approved. This form **must** be typed and is available as a fillable PDF on the Committee's website at ethics.senate.gov. Retain a copy of your entire pre-travel submission for your required post-travel disclosure.

Name of Traveler: Josh Carter

Employing Office/Committee: Senator Hoeven

Private Sponsor(s) (list all): American Foreign Policy Council; Sarah Scaife Foundation

Travel date(s): September 17-24, 2016

*Note: If you plan to extend the trip for any reason you **must** notify the Committee.*

Destination(s): Beijing and Urumqi, China

Explain how this trip is specifically connected to the traveler's official or representational duties:

My portfolio includes defense and foreign affairs, with a particular emphasis on U.S. strategic relationships as well as policies to counter radical extremism. This trip will focus on the political and strategic dimensions of the U.S.-China bilateral relationship, arguably the most important bilateral relationship in the world. It will also highlight the challenges and threats of radical extremism in China and consider responses to such threats.

Name of accompanying family member (if any): none

Relationship to Employee: ☐ Spouse ☐ Child

I certify that the information contained in this form is true, complete and correct to the best of my knowledge:

8-4-16
(Date)

Josh Carter
(Signature of Employee)

TO BE COMPLETED BY SUPERVISING SENATOR/OFFICER (President of the Senate, Secretary of the Senate, Sergeant at Arms, Secretary for the Majority, Secretary for the Minority, and Chaplain):

I, John Hoeven hereby authorize Josh Carter
(Print Senator's/Officer's Name) (Print Traveler's Name)

an employee under my direct supervision, to accept payment or reimbursement for necessary transportation, lodging, and related expenses for travel to the event described above. I have determined that this travel is in connection with his or her duties as a Senate employee or an officeholder, and will not create the appearance that he or she is using public office for private gain.

I have also determined that the attendance of the employee's spouse or child is appropriate to assist in the representation of the Senate. (signify "yes" by checking box) ☐

8-4-16
(Date)

John Hoeven
(Signature of Supervising Senator/Officer)

Carter, Josh (Hoeven)

From: Rich Harrison <harrison@afpc.org>
Sent: Friday, June 10, 2016 12:26 AM
To: Carter, Josh (Hoeven)
Cc: Ilan Berman
Subject: Fwd: INVITATION - PLEASE READ | AFPC Delegation to China
Attachments: AFPC CHINA TRIP REPORT FINAL 11-2014.pdf; AFPC China Trip Report - August 2015.pdf

Hi, Josh -

I hope this email finds you well. At the suggestion of Ilan Berman (cc'd), I am writing to invite you to participate in the 3rd annual American Foreign Policy Council (AFPC) delegation to China for leading policy experts. The eight-person delegation will engage in a series of meetings and candid discussions with Chinese officials and scholars on a wide range of bilateral strategic and national security issues. The delegation will depart the U.S. on Saturday, September 17 and return on Saturday, September 24. Normal food, transportation and lodging expenses will be covered (dates may shift slightly by one day). I have attached trip reports from the previous two years' delegations so you have an understanding of the types of meetings to expect.

AFPC has been organizing annual, senior-level delegations to China for over two decades. Within the last few years delegations have included a former Chairman of the Joint Chiefs of Staff, a former National Security Advisor, five former Under Secretaries of State and Defense. This relatively new initiative, focused on promoting exchanges between rising policy experts from both countries, will provide us an opportunity to interact with officials in the Chinese government, the Party, the think-tank community, academia, and possibly the military.

Founded in 1982, AFPC (www.afpc.org) is a 501(c)(3) non-profit organization dedicated to bringing information to those who make or influence the foreign policy of the United States and to assisting world leaders with building democracies and market economies. AFPC has never taken, and will never accept foreign funding.

We hope that you will join us in what promises to be a rewarding and thought-provoking experience. Please provide a response no later than

Friday
June

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7. Feel free to contact me via email at harrison@afpc.org or phone at 202-543-1006 for any further inquiries and thank you for your consideration.

Sincerely,

Rich



2

PRIVATE SPONSOR TRAVEL CERTIFICATION FORM

This form must be completed by any private entity offering to provide travel or reimbursement for travel to Senate Members, officers, or employees (Senate Rule 35, clause 2). Each sponsor of a fact-finding trip must sign the completed form. The trip sponsor(s) must provide a copy of the completed form to each invited Senate traveler, who will then forward it to the Ethics Committee with any other required materials. The trip sponsor(s) should **NOT** submit the form directly to the Ethics Committee. Please consult the accompanying instructions for more detailed definitions and other key information.

The Senate Member, officer, or employee **MUST** also provide a copy of this form, along with the appropriate travel authorization and reimbursement form, to the Office of Public Records (OPR), Room 232 of the Hart Building, within thirty (30) days after the travel is completed.

1. Sponsor(s) of the trip (please list all sponsors): American Foreign Policy Council (trip organizer), Sarah Scaife Foundation (trip financier - no role in organization or delegate selection process)
2. Description of the trip: The delegation to China will focus on bi-lateral issues affecting U.S. and China relations, with emphasis on political, economic, and security topics including combating radical Islam.
3. Dates of travel: Saturday, September 17 - Saturday, September 24
4. Place of travel: Beijing, China and Xinjiang, China
5. Name and title of Senate invitees: Josh Carter, Military Legislative Assistant for Senator Hoeven
6. I certify that the trip fits one of the following categories:
☒ (A) The sponsor(s) are not registered lobbyists or agents of a foreign principal and do not retain or employ registered lobbyists or agents of a foreign principal and no lobbyist or agents of a foreign principal will accompany the Member, officer, or employee at any point throughout the trip.
- OR -
☐ (B) The sponsor or sponsors are not registered lobbyists or agents of a foreign principal, but retain or employ one or more registered lobbyists or agents of a foreign principal and the trip meets the requirements of Senate Rule 35.2(a)(2)(A)(i) or (ii) (*see question 9*).
7. ☒ I certify that the trip will not be financed in any part by a registered lobbyist or agent of a foreign principal.
- AND -
☒ I certify that the sponsor or sponsors will not accept funds or in-kind contributions earmarked directly or indirectly for the purpose of financing this specific trip from a registered lobbyist or agent of a foreign principal or from a private entity that retains or employs one or more registered lobbyists or agents of a foreign principal.
8. I certify that:
☒ The trip will not in any part be planned, organized, requested, or arranged by a registered lobbyist or agent of a foreign principal except for *de minimis* lobbyist involvement.
- AND -
☒ The traveler will not be accompanied on the trip by a registered lobbyist or agent of a foreign principal except as provided for by Committee regulations relating to lobbyist accompaniment (*see question 9*).

9. **USE ONLY IF YOU CHECKED QUESTION 6(B)**

I *certify* that if the sponsor or sponsors retain or employ one or more registered lobbyists or agents of a foreign principal, one of the following scenarios applies:

☐ (A) The trip is for attendance or participation in a one-day event (exclusive of travel time and one overnight stay) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip.

– OR –

☐ (B) The trip is for attendance or participation in a one-day event (exclusive of travel time and two overnight stays) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip (see questions 6 and 10).

– OR –

☐ (C) The trip is being sponsored only by an organization or organizations designated under § 501(c)(3) of the Internal Revenue Code of 1986 and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.

10. **USE ONLY IF YOU CHECKED QUESTION 9(B)**

If the trip includes two overnight stays, please explain why the second night is practically required for Senate invitees to participate in the travel:

11. ☐ An itinerary for the trip is attached to this form. I *certify* that the attached itinerary is a detailed (hour-by-hour), complete, and final itinerary for the trip.

12. Briefly describe the role of each sponsor in organizing and conducting the trip:

The American Foreign Policy Council (AFPC) will organize all aspects of the trip including selection of the delegates, organizing transportation, and coordinating meetings in China.

13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission:

As a staffer for Sen. Hoeven, who handles military and national security issues, the delegation will provide an invaluable opportunity to gain insight in the Chinese perspective on military modernization, south china sea, and the issue of combating radical Islam.

14. Briefly describe each sponsor's prior history of sponsoring congressional trips:

AFPC has sponsored two trips in the past eight years that have involved staffers from both the House and Senate. Most recently, AFPC brought a staffer from the House Foreign Affairs Committee in 2015 on a similar delegation to China.

15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips):

AFPC sponsors a briefing series for Congressional staffers on topics relating to foreign policy and national security issues.

16. Total Expenses for Each Participant:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses
<input checked="" type="checkbox"/> Good Faith estimate	\$2500	\$900	\$300	Chinese Visa - \$140
<input type="checkbox"/> Actual Amounts				

17. State whether a) the trip involves an event that is arranged or organized *without regard* to congressional participation or b) the trip involves an event that is arranged or organized *specifically with regard* to congressional participation:

The trip is arranged without regard to Congressional participation.

18. Reason for selecting the location of the event or trip

The delegation will travel to Beijing to have meetings with senior officials in the Government, CPC, and think tanks. It will also travel to Xinjiang to discuss issues on combating radical Islam.

19. Name and location of hotel or other lodging facility:

Beijing Wanshou Hotel, No.A12 Wanshou Road, Haidian District, Beijing 100036, China (~\$150/night)

Hotel in Xinjiang has yet to be determined, but will be comparable.

20. Reason(s) for selecting hotel or other lodging facility:

The hotel in Beijing is affiliated with the local host and offers competitive rates.

21. Describe how the daily expenses for lodging, meals, and other expenses provided to trip participants compares to the maximum per diem rates for official Federal Government travel:

According to the Department of State website the maximum lodging rate is \$258 and meals and incidentals total \$119 a day. We plan to spend far less per day than the U.S. government allowed rates.

22. Describe the type and class of transportation being provided. Indicate whether coach, business-class or first class transportation will be provided. If first-class fare is being provided, please explain why first-class travel is necessary:

All transportation internationally and domestically will be coach class.

23. ☒ I represent that the travel expenses that will be paid for or reimbursed to Senate invitees do not include expenditures for recreational activities, alcohol, or entertainment (other than entertainment provided to all attendees as an integral part of the event, as permissible under Senate Rule 35).

24. List any entertainment that will be provided to, paid for, or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event:

25. I hereby *certify* that the information contained herein is true, complete and correct. (You must include the completed signature block below for each travel sponsor.):

Signature of Travel Sponsor: 

Name and Title: Richard Harrison, Director of Operations and Defense Technology Programs

Name of Organization: American Foreign Policy Council

Address: 509 C Street, NE, Washington, DC 20002

Telephone Number: (202) 543-1006

Fax Number: (202) 543-1007

E-mail Address: harrison@afpc.org

SECRET

(September 18th -24th)

Delegation arrives in Beijing

08:20-12:30	Flight CA1477 from Beijing to Urumqi, Xinjiang Uygur Autonomous Region
1:00 – 2:30	Welcome lunch with International Department of the Central Committee of the Communist Party of China (IDCPC) officials
2:30 – 5:00	Afternoon meeting with provincial leaders of Xinjiang
6:30 – 9:30	Dinner meeting with provincial leaders of Xinjiang

08: 00 – 9:00	Breakfast meeting with IDCPC officials
09:30 – 11:30	Meeting with scholars from a local university
11:30 – 12:30	Lunch
1:00 – 3:00	Afternoon meeting with scholars from a research institution
3:30 – 5:00	Visit to a local village and meeting with community leaders
6:00 – 8:00	Dinner meeting with IDCPC officials

7:00 – 8:30	Breakfast meeting with local leaders
10:15 – 1:45	Flight CA 1296 back to Beijing
3:00 – 4:30	Meeting with officials at the US Embassy
5:00 – 6:00	Meeting with representatives from a think tank
6:30 – 8:30	Dinner meeting with IDCPC officials

7:30 – 8:30	Breakfast Meeting
9:00 – 10:00	Meeting with a leader of the IDCPC
10:30 – 1:30	Discussion with the officials from the North American Affairs and West Asian Affairs at the IDCPC and Lunch
2:30 – 4:30	Discussion with experts from China Institute of Contemporary International Relations
6:30 – 8:00	Dinner

7:30 – 8:30	Breakfast Meeting
9:00 – 10:30	Meeting with officials from Chinese Foreign Ministry
10:30 – 12:00	Meeting with officials from the National People's Congress of

	China
12:00 – 1:00	Lunch
1:30 – 4:00	Discussion with experts from the Chinese Academy of Social Sciences

September 24th (Saturday)

Departure of the delegation to Washington D.C.

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United States Senate

SELECT COMMITTEE ON ETHICS
HART SENATE OFFICE BUILDING, ROOM 220
SECOND AND CONSTITUTION AVENUE, NE
WASHINGTON, DC 20510-6425

August 26, 2016

Josh Carter
Office of Senator John Hoeven
United States Senate
Washington, DC 20510

Dear Mr. Carter:

This responds to your recent correspondence concerning an invitation you received to participate in the 3rd Annual American Foreign Policy Council (AFPC) Delegation to China, in China September 17-24, 2016, sponsored by AFPC. AFPC certified to the Select Committee on Ethics (the Committee) that it will pay the *necessary expenses*¹ related to the travel and that it is neither a lobbyist, nor lobbying firm, nor an agent of a foreign principal, and it is not otherwise acting as a representative or agent of a foreign government. AFPC also certified that it does not retain or employ a registered lobbyist or agent of a foreign principal, and that no registered lobbyist will accompany you at *any point throughout your trip*.²

Based on information and materials available to the Committee, and assuming the **actual** travel and travel-related expenses conform to the information and materials you provided, it appears that the proposed payment or reimbursement of necessary expenses for this trip **may be accepted** under relevant Senate Rules and the Committee's *Regulations and Guidelines for Privately-Sponsored Travel*, so long as at the time of the payment or reimbursement, AFPC is neither a registered lobbyist nor lobbying firm under the Lobbying Disclosure Act of 1995, nor an agent of a foreign principal under the Foreign Agents Registration Act (and is not otherwise acting as a representative or agent of a foreign government), and provided the travel and all required documents are disclosed to the Secretary of the Senate in accordance with the provisions of Senate Rules 34 and 35.

Under Senate Rule 35, Senate staff must receive advance authorization signed by the Member or officer under whose direct supervision the individual works in order to accept payment or reimbursement for necessary expenses related to fact-finding travel. Further, such authorization and expenses must be disclosed to the Secretary of the Senate by filing the

¹ The term "necessary expenses" has a specific definition. See *Select Committee on Ethics' Regulations and Guidelines for Privately-Sponsored Travel – Glossary of Terms* at 8.

² The term "any point throughout your trip" has a specific definition. See *id.* at 2.

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